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09/889,901	07/24/2001	Larry Y. Yen	MCA-400 PC/U	3005

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EXAMINER

MENON, KRISHNAN S

ART UNIT PAPER NUMBER

1723

DATE MAILED: 01/06/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	Application No.		Applicant(s)	
	09/889,901		YEN ET AL.	
	Examiner		Art Unit	
	Krishnan S Menon		1723	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

1) ☒ Responsive to communication(s) filed on 10/17/03.

2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.

3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

4) ☒ Claim(s) 1-27 is/are pending in the application.

4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.

5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.

6) ☒ Claim(s) 1-27 is/are rejected.

7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.

8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

9) ☐ The specification is objected to by the Examiner.

10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. §§ 119 and 120**

12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a) ☐ All   b) ☐ Some \* c) ☐ None of:

1. ☐ Certified copies of the priority documents have been received.

2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.

3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

13) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application) since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.

a) ☐ The translation of the foreign language provisional application has been received.

14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121 since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.

**Attachment(s)**

1) <input type="checkbox"/> Notice of References Cited (PTO-892)	4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s). _____
2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)	5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)
3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____	6) <input type="checkbox"/> Other: _____

### DETAILED ACTION

Claims 1-27 are pending.

#### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

1. Claims 19, 20, and 22 are rejected under 35 U.S.C. 102(b) as being clearly anticipated by, or in the alternative, under 35 U.S.C. 103(a) as obvious over EP 0 299 459 A2.

EP teaches a thermoplastic hollow fiber membrane cartridge as in instant claims (see fig 5, page 4 lines 35-40, page 5 lines 36-49). Re method of making the cartridge, these claims are product by process, and "[E]ven though product-by-process claims are limited by and defined by the process, determination of patentability is based on the product itself. The patentability of a product does not depend on its method of production. If the product in the product-by-process claim is the same as or obvious from a product of the prior art, the claim is unpatentable even though the prior product was made by a different process." In re *Thorpe*, 777 F.2d 695, 698, 227 USPQ 964, 966 (Fed. Cir. 1985).

2. Claims 19, 20, and 22 are rejected under 35 U.S.C. 102(b) as being clearly anticipated by, or in the alternative, under 35 U.S.C. 103(a) as obvious over Niermeyer (US 5,695,702).

Niermeyer teaches a thermoplastic hollow fiber membrane cartridge as in instant claims (see fig 6, claim 10 and col 4 lines 45-50). Re method of making the cartridge, these claims are product by process, In re *Thorpe*, 777 F.2d 695, 698, 227 USPQ 964, 966 (Fed. Cir. 1985).

#### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 1-18, 21, and 23 are rejected under 35 U.S.C. 103(a) as being unpatentable over Huang et al (US 5,284,584) in view of EP 0 299 459 A2.

Claim 1: Huang teaches a method of forming an all thermoplastic (col 23 lines 10-28, and col 13 lines 25-31), perfluorinated resin hollow fiber module (abstract; fig 4,5; col 11 lines 39-44) comprising the steps of:  
contacting a plurality of hollow fiber membranes made from one or more thermoplastic, perfluorinated resins with one or more molten thermoplastic, perfluorinated potting resins to form a substantially parallel array of said membranes (see fig 1; col 4 lines 12-44),

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said one or more potting resins being heated sufficiently above their peak melting point but at or below the peak melting point of the membranes such that they are applied to said membranes at a contact temperature which causes said one or more potting resins streams to flow around said hollow fiber membranes to form a bundle of hollow fiber membranes (col 11 lines 20-25; col 13 line 32- col 14 line 55)

cooling said bundle (col 14 lines 5-15, 44-48);

heating said bundle to a temperature below the peak melting point of the hollow fibers and above the peak melting point of the one or more potting resins for a period sufficient to form a fluid-tight seal between the one or more potting resins and the hollow fiber membranes (col 14 lines 48-55).

Huang does not teach specific thermoplastic resin as perfluorinated thermoplastic. EP teaches TFE-co-PFAVE resin for hollow fiber modules (lines 35-40, page 4). It would be obvious to one of ordinary skill in the art at the time of invention to use the teaching of EP in the teaching of Huang for obtaining hollow fiber modules with "excellent heat and chemical resistance" as taught by EP.

Re the newly added element of the seal "free of voids", see col 14 lines 40-55 and of Huang ref. The process step in lines 48-55 teaches that the molten band, as it is laid on the fabric is solidified, and is melted by re-heating to make the tube sheet, which is fusing the layers of the winding together, or "filling the voids", as claimed

Additional limitations of the instant claims are taught by Huang as follows:

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Claim 2. The method of claim 1 wherein the peak melting point of the one or more potting resins is at least 5C below that of the hollow fiber membranes. (Huang: col 11 lines 20-25)

Claim 3. The method of claim 1 wherein the peak melting point of the one or more potting resins is at least 10 C below the peak melting point of the hollow fiber membranes, (Huang: col 11 lines 20-25)

Claim 4. The method of claim 1 wherein the one or more thermoplastic, perfluorinated resins of the hollow fiber membranes and the potting resins are selected from the group consisting of homopolymers, copolymers, blends of one or more homopolymers, blends of one or more copolymers and blends of one or more homopolymers and copolymers of perfluorinated resins (Huang: col 11 lines 39-45).

Claim 5. The method of claim 1 wherein the one or more thermoplastic, perfluorinated resins of the hollow fiber membranes and the potting resin are selected from the group consisting of (TFE-co-PFAVE) resins and blends thereof (EP: col 4 lines 35-40).

Claim 6. The method of claim 1 wherein the bundle is heated to a temperature at or above the peak melting point of the one or more potting resins (Huang col 14 lines 2-48)

Claim 7: The method of claim 1 wherein the plurality of hollow fiber membranes is formed prior to contacting said membranes with said potting resins by forming said membranes together in a contiguous relation (fig 1; col 4 lines 15-20).

Claim 8. The method of claim 1 wherein the array is formed prior to contacting said membranes with said potting resins by forming said membranes together in a spaced apart relation (fig 1; col 4 lines 15-20).

Claim 9. The method of claim 1 wherein the potting resin is a thin stream deposited in a defined zone near one end of said membrane array (fig 1).

Claim 10. The method of claim 1 further comprising the step of contacting a second thin stream of potting resin near an Opposite end of said array of membranes (fig 1).

Claim 11: The method of claim 1 further comprising the steps of forming a substantially parallel array of said membranes ant subsequently spirally winding said array about an axis which is substantially parallel to a longitudinal axis of said membrane array while simultaneously applying said potting resin to the array of membranes to form circular bundle of fibers having at Least one potted end. (fig 1; col 4 lines 15-20).

Claim 12. The method of claim 11 further comprising the step of continuing to apply said potting resin after said circular bundle is formed to create a tube sheet of predetermined

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diameter about at least one end of said hollow fiber membranes. (col 14 lines 25-30; 56-65)

Claim 13. The method of claim 1 further comprising the step of cutting the at least one potted end of the bundle orthogonally to the longitudinal axis of said hollow fiber membranes to form said bundle with at least one flat end surface having exposed lumens (col 9 lines 1-6).

Claim 14. The method of claim 13 further comprising the step of mounting said bundle into a cartridge housing (col 9 lines 7-10).

Claim 15. The method of claim 14 wherein the bundle is mounted in said housing by fusion bonding (col 15 lines 4-8)

Claim 16: A. method of making a hollow fiber membrane cartridge comprising:

- a. forming a plurality of hollow fiber membranes formed of one or more thermoplastic perfluorinated resins into a substantially parallel arrangement wherein the fibers are arranged in parallel arrangement along a length of the fibers; then
- b. winding the plurality of hollow fibers about an axis which is substantially parallel to the length of the hollow fiber membranes so as to form a bundle having two bundle ends (fig 1, col 4 lines 11-44);



- c. simultaneously with step (b), extruding a molten stream of a perfluorinated thermoplastic resin having a peak melting point at least 5 C below the peak melting point of the hollow fiber membranes (Huang: col 11 lines 20-25) and having a melt flow index of 100 g/10 min (col 4 lines 25-31), or greater and directing said resin onto at least one of the two bundle ends to thereby pot one or more ends in said resin (fig 1);
- d. cooling the bundle;
- e. heating the bundle at the one or more potted ends to a temperature at or above the peak melting point of the resin of the stream but below the peak melting point of the hollow fibers (col 14 lines 48-55); and
- f. exposing the lumen ends of the hollow fiber membranes at one or more potted bundle ends to communicate with the exterior of the bundle (see fig 6)

Huang does not teach specific thermoplastic resin as perfluorinated thermoplastic. EP teaches TFE-co-PFAVE resin for hollow fiber modules (lines 35-40, page 4). It would be obvious to one of ordinary skill in the art at the time of invention to use the teaching of EP in the teaching of Huang for obtaining hollow fiber modules with "excellent heat and chemical resistance" as taught by EP.

Re the newly added limitation of "eliminate voids in said potted ends", see Huang col 14 lines 40-55. The process step in lines 48-55 teaches that the molten band, as it is laid on the fabric is solidified, and is melted by re-heating to make the tube sheet, which is fusing the layers of the winding together, or "filling the voids", as claimed

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Claim 17. The method of claim 16 wherein both ends of the bundle are potted with the molten stream of the perfluorinated thermoplastic resin (fig 1).

Claim 18. The method of claim 16 wherein both ends of the bundle are potted with the molten stream of the perfluorinated thermoplastic resin and wherein both ends of the bundle are exposed so that the lumen ends of the hollow fiber membranes can communicate with the exterior of the bundle (fig 1, col 9 lines 1-6).

Claim 21. The method of claim 16 further comprising the steps of:

- g. inserting the bundle into a housing for the bundle having a first and second end and a cylindrical housing interior being suitably shaped to contain the membrane bundle, a first means for sealing the first end of the bundle to the interior of the housing adjacent its first end, a second means for sealing the second end of the bundle to the interior of the housing adjacent its second end, the housing having one or more means for dividing the bundle into at least two regions including a shell side space exterior to the portion of the bundle between the potted ends and a space including the lumens (fig 4,5,6); then
- h. applying a first end cap adjacent the first end of the housing to seal the first housing end; then
- i. applying a second end cap adjacent the second housing end so as to seal the second housing end; and
- j. providing a shell side access in the housing and at least one access in at least one of the first or second end caps (col 9 lines 7-40; col 15 lines 4-11).

Claim 23. A method according to claim 16 wherein the potting compound has melt flow Index of from about 100 to about 200 g/10 min (col 4 lines 25-30).

4. Claims 24- 27 are rejected under 35 U.S.C. 103(a) as being unpatentable over Huang et al (US 5,284,584) in view of EP 0 299 459 A2 as in claims 1-18, 21 and 23 above, and further in view of Niermeyer (702).

Huang in view of EP does not teach forming one or more strips of perfluorinated thermoplastic resin over the array before winding. Niermeyer teaches forming one or more strip of the perfluorinated thermoplastic resin (claim 10) on the array before winding and then potting (col 6 line 24 – col 7 line 11; fig 4). It would be obvious to one of ordinary skill in the art at the time of invention to use the teaching of Niermeyer in the teaching of Huang in view of EP for easier assembly without forming the fabric of hollow fibers as taught by Huang in view of EP.

Re the newly added element in claim 24, "free of voids", see Huang col 14 lines 40-55.

#### ***Response to Arguments***

Applicant's arguments filed 10/17/03 have been fully considered but they are not persuasive.

Applicant's argument re the product claims 19, 20 and 22: reheating of the thermoplastic resin medium is a process step and the claims are for a product. In re Thorpe applies as given in the rejection Re the '702 ref not teaching a thermoplastic

fluoropolymer, see claim 10 of the reference, where the reference claims such a polymer for the hollow fiber membranes.

Applicant's argument re the process claims 1-18, 21 and 23: Huang ref teaches a fluoropolymers "including" PTFE in col 11 lines 37-45. The word "including" does not eliminate or preclude thermoplastic fluoropolymers, and definitely will not be "teaching away". Huang teaches thermoplastic polymers for his invention, as stated in the rejection (see col 13 lines 25-30 – all thermoplastic polymers). Secondary heating is taught in col 14 lines 50-55.

Applicant's argument re claims 24-27 that a re-heating step is not taught by Huang ref: Please see col 14 lines 48-55 of the reference, where it states "the molten band of resin is allowed to solidify and subsequently can be reheated ... to produce the tube-sheet". This process step teaches that the molten band, as it is laid on the fabric is solidified, and is melted by re-heating to make the tube sheet, which is fusing the layers of the winding together, or "filling the voids", as claimed.

### ***Conclusion***

This action is made non-final because of the change the grounds for rejection of claims 19, 20 and 22 to 102(b)/103(a).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Krishnan S Menon whose telephone number is 703-305-5999. The examiner can normally be reached on 8:00-4:30.

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Wanda L Walker can be reached on 703-308-0457. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-308-0661.

Krishnan Menon  
Patent Examiner

  
W. L. WALKER  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 1700